

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT  
Attorney Docket No.: 023070-067720US  
Client Ref. No.: 96-215-3 Ref. No. EPM

Assistant Commissioner for Patents  
Washington, D.C. 20231

On 27 Jan, 2003

TOWNSEND and TOWNSEND and CREW LLP

By: Malinda O'Boyle

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LALEH SHAYESTEH *et al.*

Application No.: 08/905,508

Filed: August 4, 1997

For: GENETIC ALTERATIONS  
ASSOCIATED WITH CANCER

Examiner: Lisa B. Arthur

Art Unit: 1655

REQUEST FOR  
CORRECTION OF INVENTORSHIP  
UNDER 37 CFR §1.48(c)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

It is respectfully requested that the inventorship in the above-identified application be amended to include one additional inventor: Yiling Lu. The following required documents are enclosed:

(1)-STATEMENT OF INVENTORS RE CORRECTION OF  
INVENTORSHIP executed by all four inventors;

(2)-DECLARATION executed by inventors Mills and Lu;

(3)-CONSENT OF ASSIGNEE TO CORRECTION OF  
INVENTORSHIP with STATEMENT UNDER 37 CFR 3.73(b) by the Regents of the  
University of California;

02/04/2003 KZEWDE 00000137 201430 08905508

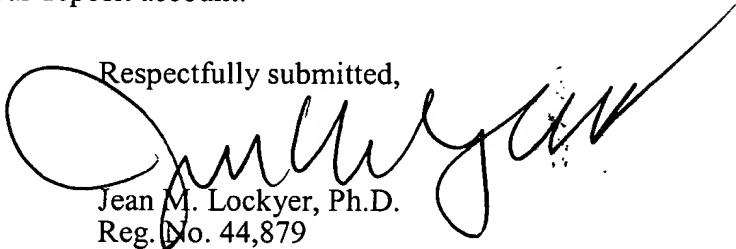
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FEB 06 2003  
TECH CENTER 1600/2900

(4)-CONSENT OF ASSIGNEE TO CORRECTION OF  
INVENTORSHIP with STATEMENT UNDER 37 CFR 3.73(b) including copy of  
ASSIGNMENT, the Board of Regents, The University of Texas System; and

(5)-FEE TRANSMITTAL PTO/SB/17 with authorization to deduct the  
processing fee under 37 CFR §1.17(i) from our deposit account.

Respectfully submitted,

A large, stylized handwritten signature in black ink, appearing to read 'Jean M. Lockyer', is written over the typed name and registration number.

Jean M. Lockyer, Ph.D.  
Reg. No. 44,879

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 415-576-0200  
Fax: (415) 576-0300  
JML:mcd  
SF 1417523 v1



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Assistant Commissioner for Patents  
Washington, D.C. 20231

On 27 Jan. 2003

TOWNSEND and TOWNSEND and CREW LLP

By: Malinda Chagis

PATENT  
Attorney Docket No.: 023070-067720US  
UC ref. 96-215-3; UT ref. MDA98-027

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LALEH SHAYESTEH *et al.*

Application No.: 08/905,508

Filed: August 4, 1997

For: GENETIC ALTERATIONS  
ASSOCIATED WITH CANCER

Examiner: Lisa B. Arthur

Art Unit: 1655

STATEMENT OF INVENTORS RE  
CORRECTION OF INVENTORSHIP  
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We state that the addition of inventor Yiling Lu is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intention on the part of any one of us.

Dated: Jan 9 - 2003

By [Signature]  
Laleh Shayesteh

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Joe W. Gray

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Gordon B. Mills

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Yiling Lu.



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to::

PATENT  
Attorney Docket No.: 02307O-067720US  
UC ref. 96-215-3; UT ref. MDA98-027

Assistant Commissioner for Patents  
Washington, D.C. 20231

On 27 Jan. 2003

TOWNSEND and TOWNSEND and CREW LLP

By: Malinda Adgett

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LALEH SHAYESTEH *et al.*

Application No.: 08/905,508

Filed: August 4, 1997

For: GENETIC ALTERATIONS  
ASSOCIATED WITH CANCER

Examiner: Lisa B. Arthur

Art Unit: 1655

STATEMENT OF INVENTORS RE  
CORRECTION OF INVENTORSHIP  
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We state that the addition of inventor Yiling Lu is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intention on the part of any one of us.

Dated: \_\_\_\_\_ By Laleh Shayesteh

Dated: 1-13-'03 By Joe W. Gray

Dated: \_\_\_\_\_ By Gordon B. Mills

Dated: \_\_\_\_\_ By Yiling Lu.



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

On 27 Jan. 2003

TOWNSEND and TOWNSEND and CREW LLP

By: Malinda Adofit

PATENT  
Attorney Docket No.: 023070-067720US  
UC ref. 96-215-3; UT ref. MDA98-027

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TECH CENTER 1600/2300

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

LALEH SHAYESTEH *et al.*

Application No.: 08/905,508

Filed: August 4, 1997

For: GENETIC ALTERATIONS  
ASSOCIATED WITH CANCER

Examiner: Lisa B. Arthur

Art Unit: 1655

STATEMENT OF INVENTORS RE  
CORRECTION OF INVENTORSHIP  
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

We state that the addition of inventor Yiling Lu is necessitated by amendment of the claims and that the inventorship error occurred without deceptive intention on the part of any one of us.

Dated: \_\_\_\_\_ By Laleh Shayesteh

Dated: \_\_\_\_\_ By Joe W. Gray

Dated: Jan 16 2003 By Gordon B. Mills  
Gordon B. Mills

Dated: 1-16-03 By Yiling Lu  
Yiling Lu.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

On

27 Jan. 2003

TOWNSEND and TOWNSEND and CREW LLP

By:

Malinda A. Dofit

PATENT  
Attorney Docket No.: 023070-067720US  
UC ref. 96-215-3; UT ref. MDA98-027

RECEIVED  
FEB 06 2003  
TECH CENTER 1600/2900

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SHAYESTEH, Laleh, *et al.*

Application No.: 08/905,508

Filed: August 4, 1997

For: GENETIC ALTERATIONS  
ASSOCIATED WITH CANCER

Examiner: Lisa B. Arthur

Art Unit: 1655

CONSENT OF ASSIGNEE TO  
CORRECTION OF INVENTORSHIP  
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The Regents of the University of California, one of the owners by assignment from inventors Laleh Shayesteh and Joe Gray recorded in the U.S.P.T.O. on July 22, 1998, at reel 9333, frames 0066-0068, hereby consents to correction of the inventorship in the above-identified application to include inventor Yiling Lu.

The Regents of the University of California

Dated:

1/9/03

By

Linda S. Stevenson

Name:

Linda S. Stevenson

Title:

Manager, Patent Prosecution

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

PATENT  
Attorney Docket No.: 023070-067720US  
UC ref. 96-215-3; UT ref. MDA 98-027

On 27 Jan. 2003

TOWNSEND and TOWNSEND and CREW LLP

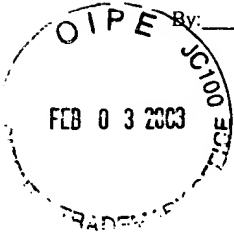
By: Malinda Adger

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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TECH CENTER 1600/2900



In re application of:

SHAYESTEH, Laleh, *et al.*

Application No.: 08/905,508

Filed: August 4, 1997

For: GENETIC ALTERATIONS  
ASSOCIATED WITH CANCER

Examiner: Lisa B. Arthur

Art Unit: 1655

CONSENT OF ASSIGNEE TO  
CORRECTION OF INVENTORSHIP  
UNDER 37 C.F.R. §1.48

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The Board of Regents, The University of Texas System, one of the owners by assignment from inventors Gordon B. Mills and Yiling Lu, copy attached, hereby consents to correction of the inventorship in the above-identified application to include inventor Yiling Lu.

Board of Regents, The University of Texas System

Dated: January 17, 2003

By Cullen M. Godfrey

Name: Cullen M. Godfrey

Title: Vice Chancellor and General Counsel

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, **Gordon B. Mills and Yiling Lu**, do hereby:

SELL, ASSIGN AND TRANSFER to Board of Regents, The University of Texas System (the "Assignee"), having a place of business at 201 West 7<sup>th</sup> Street, Austin, Texas 78701, the/their entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, Serial No. 08/905,508 which has been filed on **August 4, 1997** and is entitled

**"GENETIC ALTERATIONS ASSOCIATED WITH CANCER,"**

such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;



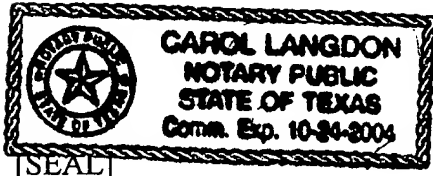
TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature: Gordon B. Mills  
Name: Gordon B. Mills

Date: Aug 27 2001

STATE OF TEXAS                   )  
  ) ss.  
COUNTY OF Harris           )

BEFORE ME, the undersigned authority, on this 27 day of August, 2001, personally appeared Gordon B. Mills, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.



Carol Langdon  
Notary or Consular Officer

Signature: \_\_\_\_\_  
Name: Yiling Lu

Date: \_\_\_\_\_

STATE OF TEXAS                   )  
  ) ss.  
COUNTY OF \_\_\_\_\_       )

BEFORE ME, the undersigned authority, on this \_\_\_\_ day of \_\_\_\_\_, 2001, personally appeared Yiling Lu, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she executed the same of her own free will for the purposes and consideration therein expressed.

\_\_\_\_\_  
Notary or Consular Officer

[SEAL]

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned and extend to the successors, assigns and nominees of the Assignee.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: Gordon B. Mills

STATE OF TEXAS )  
 ) ss.  
COUNTY OF \_\_\_\_\_ )

BEFORE ME, the undersigned authority, on this \_\_\_\_ day of \_\_\_\_\_, 2001, personally appeared Gordon B. Mills, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that he executed the same of his own free will for the purposes and consideration therein expressed.

\_\_\_\_\_  
Notary or Consular Officer

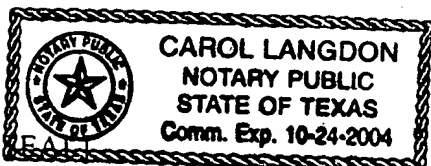
[SEAL]

Signature: Yiling Lu  
Name: Yiling Lu

Date: 9-24-01

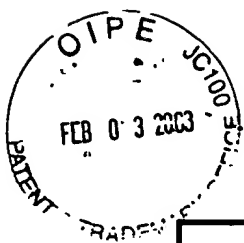
STATE OF TEXAS )  
 ) ss.  
COUNTY OF Harris )

BEFORE ME, the undersigned authority, on this 24 day of September, 2001, personally appeared Yiling Lu, known to me to be the person whose name is subscribed to the foregoing instrument and acknowledged to me that she executed the same of her own free will for the purposes and consideration therein expressed.



Carol Langdon  
Notary or Consular Officer

PLEAS  
8



Attorney Docket No. 023070-0677-20  
UC ref. 96-215-3; UT ref. MDA98-027

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Laleh SHAYESTEH et al.

Application No./Patent No.: 08/905,508

Filed/Issue Date: August 4, 1997

Entitled: GENETIC ALTERATIONS ASSOCIATED WITH CANCER

Board of Regents, The University of Texas System, a university

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

January 17, 2003

Date

Cullen M. Godfrey

Typed or printed name

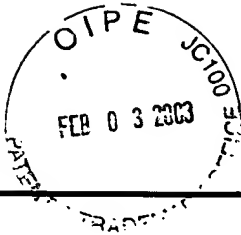
Signature

Vice Chancellor and General Counsel

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1417585 v1



Attorney Docket No. 02307O-0677-20  
UC ref. 96-215-3; UT ref. MDA98-027

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Laleh SHAYESTEH et al.

Application No./Patent No.: 08/905,508

Filed/Issue Date: August 4, 1997

Entitled: GENETIC ALTERATIONS ASSOCIATED WITH CANCER

The Regents of the University of California, a California corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 9333, Frame 0066, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To : \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To : \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To : \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1/9/03  
Date

Linda S. Stevenson

Typed or printed name

Linda S. Stevenson  
Signature

Manager, Patent Prosecution

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

SF 1417582 v1